



Securing Mountain Water and Livelihoods

Annual Report

April 7, 2014 – September 30, 2014

APS-527-13-000002 – Climate Change Adaptation Program (GPAP)

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ACRONYMS

ACC	Adaptation to Climate Change
APCI	Peruvian Agency for International Cooperation
CC	Peasant Community
CCA	Climate Change Adaptation
COP	Chief of Party
CSA	Compensation for Environmental Services
EIC	Component Implementation Teams
FCAM	Faculty of Environmental Sciences (UNASAM)
IAP	Participatory Action Research
IR	Intermediate Result
ISF / EWB	Engineers Without Borders
IT	Technical Report
LAPA	Local Adaptation Plan of Action
LB	Baseline
M & E	Monitoring and Evaluation
MEF	Ministry of Economy and Finance
MM	Municipal Commonwealth
MEIA	Monitoring Evaluation and Impact Assessment
MINAM	Ministry of the Environment
OGEYPS	General Office of Outreach and Social Projection (UNASAM)
NGOs	Non-Governmental Organization
PAAL	Plan of Action for Local Adaptation
PDI	Institutional Development Plan
PIP	Public Investment Project
PMP	Performance Monitoring Plan
PNH	Huascaran National Park

ACRONYMS

POA	Annual Operating Plan
POG	General Operating Plan
PUCP	Pontificia Universidad Católica del Perú
REGEMA	Red de Gerentes de Mancomunidades
SERNANP	National Service of Protected Areas
TMI	The Mountain Institute
SNIP	National Public Investment System
UAP	Project Support Unit
UNASAM	National University Santiago Antunez de Mayolo
USAID	United States Agency for International Development
USFS	United States Forest Service
UvA-IBED	University of Amsterdam - Institute of Biodiversity and Ecosystem Dynamics

1 EXECUTIVE SUMMARY

1.1 Project Objectives

Securing Mountain Water and Livelihoods is part of the USAID-Peru Climate Change Adaptation Program. The Mountain Institute is implementing the project for a period of three calendar years, from April 7, 2014 to April 6, 2017. The project is cooperating with three stakeholder groups that have are actively cooperating with the project to promote climate change adaptation in the highlands of Ancash region: 1) universities, 2) municipal commonwealths, and 3) community grassroots organizations.

The project goal is to “contribute to climate-resilient development in highland Ancash, Peru” based on the achievement of three results:

R1: Develop the university extension network for local governments and communities for climate change adaptation

R2: Develop the Public Investment Program for the implementation of local adaptation plans of action

R3: Replicate methods of climate change adaptation at the community level and disseminate training systems at the university and local government levels

TMI is implementing methodologies that the organization has tested in the field in several locations of Peru following guidelines established by USAID in different handbooks (USAID 2007, 2013).¹ The key to the approach we are following is to first identify the development objectives of the social groups in the territory where we are working. The next step consist of understanding in detail the resources and process that are required to achieve the development objectives that were identified by stakeholders. The prime expression of climate is the territory (geography, ecosystems, production systems, and local culture). The territory and landscapes evolved in adaptation to a characteristic climate and is capable to respond to most “normal” extreme events. Therefore, even minor changes in variability of climate or in extreme events create serious problems with production or social systems. Once we have gained a thorough understanding of the territory we have to be able to pin point what are the main climate hazards that are emerging and affect specific vulnerable resources that are key to sustain the development objectives. The next steps involve identifying actions and investments that are required to reduce the vulnerability of resources, inputs, or the processes that are needed to sustain development in the territory. Thus we conclude the process by designing long-term development plans or more short-term projects that are more resilient to climate variability and change. A significant challenge in the methodological process described above is that “normal” climate has been so thoroughly internalized in the economy and society of any territory that it is not a significant factor taken into consideration when planning development or designing private or public projects. Therefore, in order to contribute to the goal set for the project, TMI is dedicating special attention to the production of climate vulnerability tools that can be incorporated by the different stakeholder groups of the territory. Mobilizing the public university to engage in the production of these climate tools and to provide vulnerability analysis services to government agencies or community groups will provide continuity to the results achieved by the project.

Geographic focus. The project works in the highlands of Ancash Region. In this area, TMI cooperates with 10 municipal commonwealths encompassing 14 provinces (of a total of 20 in Ancash), 29 districts and 295 rural communities, with a total population of approximately 549,338 (Map 1). During the first year of implementation, the project is concentrating on three Climate Change Adaptation pilot sites -- Waraq Commonwealth, Tres Cuencas Commonwealth and Yanamayo Commonwealth (See 2.2).

¹ USAID 2007. Adaptación a la Variabilidad y al Cambio Climático and USAID 2013. Climate Resilient Development: A Guide To Understanding and Addressing Climate Change

1.2 Project context

The approach TMI is following seeks to mainstream climate change adaptation tools into the planning instruments of municipal governments and local organizations. Consequently, TMI is adapting its activities to be aligned with the planning cycle of governments. In this sense, we had to consider the fact that municipal and regional government elections (schedule for October 2014) diverted the attention of municipal authorities and the possibility that our counterparts could change. However, we moved forward signing agreements with the three pilot Municipal Commonwealths because they are not affected by changes in municipal authorities and initiated the diagnostic of the territory of commonwealths. The activities with the public university UNASAM unfolded in a positive atmosphere, with a strong response among students to participate in project training and activities.

Since the strategy of the project is to align climate tools and vulnerability analysis instruments as closely as possible with the technical norms that the government of Peru (GOP) has issued and will continue to issue, TMI has invested time to communicate project objectives and activities to municipal candidates and several government agencies like the Direction General of Environmental Research and Information (DGIIA) at MINAM, the PCM Working Group established to respond to the threat of glacial lake outburst flood in Palcacocha above Huaraz.

1.3 Summary of project progress and performance

During Q1 the project completed a set of tasks required to implement project activities properly. The following list indicates the main activities of the inception phase:

- All key project personnel was hired or identified in a short-list
- The first year contract with University of Texas was prepared and signed. Rachel Chisolm for UTA was assigned to reside in Huaraz and provide technical assistance to the project
- TMI made a presentation of the project to USAID and US Embassy staff (June 7)
- The project was registered with APCI
- TMI completed the following project planning documents:
 - General Operating Plan and budget for three years (POG April 7, 2014 to April 6, 2017)
 - Annual Work Plan (POA) April 7, 2014 to April 6, 2015 [amended later to match USAID Fiscal Year]
 - Performance Monitoring Plan (PMP) of the project with USAID indicators
- Monitoring and Evaluation systems in place and project staff trained in the use of report formats (travel, meetings, workshops, financial).
- Database to summarize technical documents, communications and materials generated by the project designed.
- Implemented “teamwork” software to collect and share project materials

TMI responded to several opportunities to attract international research groups or volunteers to the project area. The following collaborations were carried out:

- With UNASAM and University of Amsterdam Institute of Biodiversity and Ecosystem Dynamics (UvA-IBED) to set up a four-weeks field study in July 2014 of the Quillcay watershed (the territory of Waraq Commonwealth). TMI and UNASAM co-organized with UvA-IBED a workshop to discuss climate change research topics in highland Ancash and potential research plans at Quillcayhuanca watershed (one of the three project pilot sites).
- With Taft University doctoral student Laura Read in the organization of a training workshop on use of cell phone systems to collect and organize information (July 2014)
- With a doctoral team of three students from University of Maine, Center for Quaternary Studies. This group designed a short study titled “Understanding the past, present and future of water resources in the Quebrada Quillcayhuanca, Cordillera Blanca, Peru: Implications of climate variations on the socio- economic value of grasslands and wetlands”.
- With Samuel Kane Hulsey, Middle Tennessee State University who started a six month internship with the project (July – December 2014)

R1. University Network

Multiple meetings with the Dean of the Faculty of Environmental Sciences, Faculty and with the participation of students were organized to discuss details of the project implementation plan. TMI gained understanding of the importance to engage individual Faculty members who were interested in climate change research and extension in order to gain continuity. A MOU between TMI and the Faculty of Environmental Sciences was submitted for signature.

The university network was setup by the project through one-on-one meetings with national research groups that are currently working in climate change adaptation in high-altitude mountain ecosystems. These preliminary discussions concluded in a meeting in Lima (October 3) that established the network. The network is currently formed by members of UNASAM Faculty of Environmental Sciences, the Grassland Ecology and Utilization Laboratory of Agrarian University (UNALM), the Remote Sensing Laboratory of San Marcos University (UNMSM), the Graduate Program in Water Management at Catholic University (PUCP), Peru Geophysics Institute (IGP), the Laboratory of Ecotoxicology at Cayetano Heredia University (UPCH), and the Center for Competencies in Water (CCA). This large group plans to meet during the next quarter to draft more detailed research and adaptation agendas. TMI expects that the establishment of this group will catalyze the formation of the “*Mesa Climática*” in Ancash, a mechanism to facilitate the exchange of data necessary for climate change adaptation projects and research.

An accomplishment achieved during this period was the design, validation and inception of the university internship program to support local governments efforts in climate change adaptation. This is a competitive program opened to students who have completed all course work and undergo a preliminary training in climate change adaptation. TMI carried out the preliminary training during the selection process. An initiated the selection process for a first cadre of seven students. TMI also developed training modules that will be applied with interns and staff during the next quarter in preparation for their support to local governments.

R2: Public Investment Program.

TMI completed the diagnostic studies of the three pilot municipal commonwealths and the provincial and district level municipalities that make part of these associations. The analysis also included a comparative analysis of the development objectives of the ten highland municipal commonwealths of Ancash. The diagnostic also compiled basic information on the demographics of each municipal commonwealth and the planning and operational instruments that they are required to have by law. Generally speaking, municipalities have the minimum requirements necessary to receive funds. Five of ten have SNIP code and two of the ten commonwealths have already obtained the certifications SIAF to receive and implement public investment funds.

This is an initial step required to ground climate vulnerability analysis in relation to stakeholders' development objectives and their capacities to produce public investment projects that incorporate a climate change component. We have identified the portfolio of priority projects and the planning and policy instruments they need to develop.

The project has analyzed last year of (2013) investments conducted by municipalities in the three pilot commonwealths. None had invested in specific climate change adaptation projects or in projects to consolidate water supply for their territories. Investments in the functional areas of agriculture, environment and sanitation, areas that are closely related to the project objectives of securing water and livelihoods, are marginal in relation to total budgets.

The analysis and databases will be useful inputs to design public investment projects. These data will be transferred into geographic information systems to make data accessible to municipalities and the public.

Other products completed at the end of this period included:

- Obtaining signed MOUs with the three pilot municipal commonwealths, and with elected mayors (Huaraz and Independencia among others).
- Project staff was trained on the use of monitoring tools developed for the project (Dropbox, Teamwork, Moodle project platform).

R3: Replicate methods of climate change adaptation at the community level and disseminate training systems at the university and local government levels

Climate change adaptation activities at the level of communities were conducted in selected sub-watersheds of the three pilot commonwealths (at Yauya in Rio Yanamayo Commonwealth, Quillcay in Waraq Commonwealth and Rio Negro in Tres Cuencas Commonwealth). A detailed field diagnostic identified the livelihood systems and natural and resource base that sustains production systems, local perceptions of climate threats and innovations currently under development that could provide improved resiliency to climate change. The field portion of the diagnostic was completed and the final analysis will be ready next quarter.

Activities

The following tables provide a summary of project implementation.

Table 1 Expected Results: Quarter, Annual, Total (from April 8, 2014 to April 7, 2017)

POG	Activity	Advances Quarter	Means of Verification	Goal Year (%)	Goal Total (%)
1.1.1	Establishment of the inter-university platform for CCA research, training and extension services	<p>Support Training course on geo-ecological systems with the University of Amsterdam and UNASAM</p> <p>Develop Agreement with the University of Amsterdam for future cooperation with UNASAM (emails)</p> <p>Meetings with the Dean of the FCAM-UNASAM, Daene McKenney of University of Texas to plan cooperation.</p> <p>Preparatory meetings with five universities in Lima: UNALM, UPCH, PUCP, UNMSM and IGP</p> <p>Prepared workshop to establish the platform (implemented on October 3)</p>	<p>Geo-ecology Course in Waraq Commonwealth: Summary (Annex 1)</p> <p>Report of meetings with FCAM 04/07/14 (Annex 2)</p> <p>Survey Guide and advances of diagnostic (Annex 3).</p> <p>Meeting with university platform: Report (Annex 4)</p> <p>Agenda and Methodology guide of meeting with university platform (Annex 5)</p>	25	25
11.2	Development of CCA training, research and extension capabilities	<p>TMI workshop to design training program and materials on climate change adaptation (Local Adaptation Plan, Public Investment System, Climate Change principles)</p> <p>Outline for each guide developed (each person responsible initiated production of guide)</p> <p>Co-organizers of Workshop with Huascarán National Park "Science and</p>	<p>Report of meeting with FCAM 27/07/14 (annex 6)</p> <p>Project gender strategy (draft under revision) (annex 7)</p> <p>Outline for training modules (Annex 8)</p>	13	13

POG	Activity	Advances Quarter	Means of Verification	Goal Year (%)	Goal Total (%)
		<p>Management in Huascarán Biosphere Reserve" (with US Forest Service and SERNANP)</p> <p>Co-organizers of Workshop Climate Change and Protected Areas (Huascarán national Park and FCAM-UNASAM)</p> <p>Diagnostic and needs Assessment conducted (to inform design of training, support to laboratories, and other activities)</p>			
1.1.3	Generation of education policies and systems for CCA training, research and extension services	<p>Plan diagnostic and needs assessment with General Office of Outreach and Social Projection (OGEYPS-UNASAM)</p> <p>Design interviews for diagnostic and needs assessment. Implement assessment.</p>	Cooperation Agreement with FCAM (university is processing document for signature) (Annex 9)	25	25
1.1.4	Design and implementation of the CCA applied research and extension program with university students and faculty	<p>Meetings with TMI project team to define university internship scheme to be discussed with UNASAM</p> <p>Coordinated with TMI component 2 project team to identify work program of university internships in support of Municipal Commonwealths</p> <p>Meetings with TMI team and with FCAM-UNASAM (August 22) to present and validate the design of the project internships program. Final Document completed for circulation with students and faculty.</p>	Report of meeting with students and faculty to validate the design of internships (Annex 10)	25	25
1.2.1	Support to the implementation of the business plan for UNASAM laboratory services to reduce vulnerability to climate change	<p>Initiated Diagnostic and need assessment of Laboratories (interview with Environmental Quality and Meteorology CIDAT laboratory). Revised laboratory documents (secondary</p>	Draft document available	8	8

POG	Activity	Advances Quarter	Means of Verification	Goal Year (%)	Goal Total (%)
		literature documents).			
1.2.2	Development of project research initiatives for the Mining Canon (tax) Fund for Scientific Research	Identified one cooperative project FCAM CIDAT Laboratory and UNALM Grassland Laboratory to implement an Early Warning System for extreme events in puna ecosystems (project already funded by UNALM).	Draft document available	0	0
1.3.1	Development of technical roundtable for generating climatological data	Collection of secondary data of climatological information. Stakeholder map (elaborated from secondary data sources)	Draft document available	24	24
1.3.2	Climate Change Data through Cellphone network infrastructure with support from UNASAM faculty, students and laboratories	Training workshop "Field Data Collection Systems through Cell phones" for UNASAM students and faculty. Coordinate technical support with volunteer Laura Read (Engineer Without Borders)	Report of the workshop and announcement (Annex 11)	10	10
2.1.1	Design of institutional development plans (IDPs) and cooperative agreements for their implementation with municipal commonwealths	Bylaws of the Network of Municipal Commonwealths' Managers of Ancash (REGEMA) was approved MOUs with three pilot municipal commonwealths signed Diagnostic and Needs Assessment of 10 commonwealths of Ancash underway Technical support to Tres Cuencas Commonwealth to prepare 2014 work plan and budget.	Document with bylaws of the Network of Ancash Commonwealth Managers (Annex 12) General format developed for Board of Directors to authorize managers membership in Network of managers (Annex 13) Signed MOU TMI-Rio Yanamayo Commonwealth (Annex 14) Signed MOU TMI-Waraq Commonwealth (Annex 15) Signed MOU TMI-Tres Cuencas Commonwealth (annex 16) Draft Report of advances of diagnostic of three pilot commonwealths (Annex 17)	22	22

POG	Activity	Advances Quarter	Means of Verification	Goal Year (%)	Goal Total (%)
			Tres Cuencas Commonwealth Annual Operations Work plan (Annex 18) and ordinance of 10 majors approving it (Annex 19) and agreement to request SIAF (Annex 20)		
3.1.1	Compilation of information on experience, stakeholders and existing and potential mechanism for compensation or PES	Developed conceptual project approach to PSA-like mechanisms to compensate conservation Stakeholder map and identification of social conflict sites in which to explore PSA-like mechanisms	List of stakeholders (annex 21) Conflicts associated with water and options of PES-like mechanisms (draft report) (Annex 22)	25	25
3.2.1	Assessment of CCA innovations based on local knowledge and practices, with an emphasis on gender	Documented the innovation concept to be applied in the adaptation project overall and to identify relevant cases in the area of the project. Identify and describe local innovations conducted in the context of TMI projects and current status	Document classifying innovations identified by TMI (Annex 23) Document presenting the concept of innovation in rural areas (annex 24)	25	25
3.2.2	Assessment of pilot sites based on development objectives, climate change threats and affected resources. Three assessment levels: (1) commonwealths of highland Ancash, (2) selected sub-basins/ micro-basins, (3) community/ population/pilots	Diagnostic and Needs Assessment and key stakeholders Conducted diagnostic of Yanamayo (collected primary information and revised secondary information (final document in elaboration).	Diagnostic document (Annex 24)	50	50
3.4.1	Development of CCA communication (radio programs, audiovisual, posters, pamphlets)	Educational posters to introduce climate change adaptation measures Develop communication strategy of the project	Printed banners and posters for training (Annex 26)	10	10
3.4.2	Development of the virtual platform on training, research and dissemination of CCA experiences in Ancash (preparation of educational modules)	Support the web site of FCAM-UNASAM (incorporate project information in their site) Prepared project web site including a platform for project documents	Web page on line (Annex 27)	10	10

POG	Activity	Advances Quarter	Means of Verification	Goal Year (%)	Goal Total (%)
		and materials (platform to be completed in Q3)			
3.4.3	Dissemination of project results (web, social networks, the media, open house, short courses, publications, radio)	<p>Project staff participated in Water Day (Huaraz). Press release</p> <p>Printed project Fact Sheet in Spanish</p> <p>Participation in two days workshop to define the position of Peruvian Universities in COP20 (Kawsaypacha)</p>	Project Fact Sheet (Annex 28)	10	10

Table 2: Results: Goals Programmed and Achieved

Results	Financial Goal Programmed for the Year (%)	Financial Goal Accumulated Present Quarter (%)	Financial Goal Achieved this Quarter (%)	Accumulated Products Delivery to this Quarter (%)	Accumulated Financial to this Quarter (%)
Operational					
Result 1	31	31	19	19	14.29
Result 2	11	11	11	11	7.45
Result 3	58	58	43	43	8.67
Total Operational					
Fixed Costs and Personnel	44.16	44.16	44.16	44.16	6.19
Monitoring Costs	1.38	1.38	1.38	1.38	4.08
Total					

Table 3. Intermediate Results: Goals Programmed and Achieved

Intermediate Results	Goal Products Programmed Annual (%)	Goal Products Programmed Quarter (%)	Goal Products Achieved Quarter (%)	Goal Products Achieved Accumulated Quarter (%)	Financial Implementation Accumulated Quarter (%)
IR 1.1	13.5	13.5	11.62	11.62	14.29
IR 1.2	7.0	7.0	2.24	2.24	-
IR 1.3	4.5	4.5	1.80	1.80	-
IR 2.1	12.5	12.5	12.5	12.5	7.45
IR 2.2	0	0			-
IR 3.1	6	6	6	6	-
IR 3.2	4	4	4	4	8.29
IR 3.3	0	0	0	0	-
IR 3.4	7.25	7.25	2.9	2.9	0.37
Total Activities					

Intermediate Results	Goal Products Programmed Annual (%)	Goal Products Programmed Quarter (%)	Goal Products Achieved Quarter (%)	Goal Products Achieved Accumulated Quarter (%)	Financial Implementation Accumulated Quarter (%)
Management					
Fix Costs	44.16	44.16	44.16	44.16	6.19
Monitoring	1.38	1.38	1.38	1.38	4.08
Total Management and M&E					

Table 4: Intermediate Results: Financial and Product Programmed and Achieved

Intermediate Results	Share of Funding Total (3 Years) (%)	Weighing Factor ¹	Goal Financial Achieved this Quarter (%)	Goal (Weighted) Accumulated Quarter (%)	Accumulated Financial to this Quarter (%)
IR 1.1	11.55	0.1155	11.62	1.34211	14.29
IR 1.2	4.69	0.0469	2.24	0.105056	-
IR 1.3	2.49	0.0249	1.80	0.04482	-
IR 2.1	3.59	0.0359	12.5	0.44875	7.45
IR 2.2	3.27	0.0327	0	0	-
IR 3.1	5.14	0.0514	6	0.3084	-
IR 3.2	2.69	0.0269	4	0.1076	8.29
IR 3.3	6.84	0.0684	0	0	-
IR 3.4	9.92	0.0992	2.9	0.28768	0.37
Personnel Costs and Fixed	44.28	0.4428	44.16	19.554048	6.19
Monitoring Costs	5.53	0.0553	1.38	0.076314	4.08
Total					

2. PROJECT IMPLEMENTATION

2.1. Main Achievements

Operational

All of the preparatory activities required to launch the project and the management and monitoring tools were completed as scheduled. The website of the project with a Moodle Software platform to access project products and internal planning documents was designed in this period but will be populated with documents and ready for use during next quarter.

Component 1. University Network. The Faculty of Environmental Sciences (FCAM) is participating actively in support of project objectives and in reaching out to research groups that have an interest in climate change adaptation research and extension in Ancash (1.1.1). This applied research network has been established and it becomes the starting point for other key activities of Component 1. For instance the promotion of a regional platform to share climatological data (1.3.1) is more likely to be established if there are applied products to be obtained by this research network. The positive relationship with FCAM has facilitated the implementation of the diagnostic to support the institutional development plan (1.1.3) of FCAM and OGEYPS, the extension office of UNASAM, and business plans for the laboratories that provide climate change adaptation services. The project has a detailed agreement with FCAM to implement a program of internships on climate change adaptation for its graduating students (1.1.4). The design of the program also involved consultation with students who are highly motivated to participate. There have been other preparatory activities like the production of TMI training materials for students and introductory workshop on the use of cell phones to collect field data that have created a positive context for cooperation of TMI and university counterparts.

Component 2. Commonwealths. Activities concentrated in the three pilot municipal commonwealths. The project has signed agreements with the three partners and advanced the diagnostic study of all ten municipal commonwealths in the highlands of Ancash. The network of managers of municipal commonwealths of Ancash received technical support to complete its bylaws and is preparing to become a legal entity.

Component 3. Communities. The project identified the Waraq Commonwealth as the site most promising to explore PES-like mechanisms that contribute to the reduction of social conflicts. One promising case in which the users of a newly built canal are interested in compensating conservation of wetlands and grasslands by users as a mean to protect water supply and quality and reduce social tensions with upland communities. The Waraq commonwealth also offers the possibility of establishing a conservation fund to protect wetlands that provide water for the city of Huaraz.

The project has also established a constructive relationship with Río Yanamayo commonwealth. A detailed diagnostic of the territory was completed to understand its territorial context and needs at the level of rural communities. We have mapped local innovations in natural resource management that have potential to improve resilience to climate tensions that could be replicated in the territory of commonwealths.

The mechanisms to communicate project results are in place: a communication strategy, web site and social media channels have been developed jointly with TMI Head Quarters to make known locally in Ancash the concrete achievements in adaptation provided by UNASAM to local governments and communities with project support. For example the project is actively preparing to participate in COP20 Mountain activities in cooperation with the Ministry of Environment.

2.2. Implementation Challenges

A challenge for the project will be to strike the right balance between on the one hand process (such as awareness, training, dialogue activities) that are required to yield political will to invest resources in adaptation and, on the other hand, the activities that are directed to yield

adaptation instruments. Because climate change adaptation can be said to be a social and institutional endeavor, project management is instructing staff to link every process to development of adaptation tools. As noted in the context section,

3. OPERATIONAL ASPECTS OF THE PROJECT

The project completed its general operational plan to cover three years of implementation (April 7, 2014 – April 6, 2017) and the annual work plan for the first calendar year (April 7, 2014 – April 6, 2015). The project completed all of its monitoring tools and is conducting regular by-weekly, monthly and quarterly meetings to assess progress. The project initiated the first year contract with University of Texas during this Q2 of calendar Year 1 (July 1, 2014 – June 30, 2015). The project is also exploring cooperation with Huascarán National Park (HNP), which has an interest to cooperate with Municipal Commonwealths, municipalities and communities in climate change adaptation, particularly when measures involve resources such as wetlands located inside HNP boundaries.

TMI also received a grant from the US Forest Service (USFS) to promote conservation of wetlands in cooperation with HNP. While the TMI-USAID adaptation project will not conduct activities in HNP, community and municipal water management projects will require protection of natural sources of supply located inside the Park. MOU with HNP to cover cooperation with USAID and USFS project is currently underway.

TMI completed the process to register the project with the Peruvian Agency for International Cooperation (APCI); this process entailed presenting the project and obtaining approval of the Regional Government.

As previously noted, the electoral process delayed activities with staff of municipal government and commonwealths. This difficulty will be extended until January when new elected officers take office. However, the project will carry out meetings with elected officers to explain the project and coordinate future activities. Cooperation with the Regional Government of Ancash will be explored after the October election of authorities.

The project has completed acquisition of equipment and vehicle identified in the project contract and has equally identified and hired all the staff required for project implementation.

4. PLANNING (OCTOBER 1, 2014 TO SEPTEMBER 30, 2015)

The work plan for this period will take into consideration the schedule of new municipal administrations that inaugurate their government period in January 2015. The schedule of the “Participatory Budget” will be followed to incorporate climate vulnerability analysis so that projects proposed by communities are sensitive to this problem. A key activity of the year will be the training of government officers responsible for the formulation of public investment projects to incorporate a climate change and risk analysis component. Participants will be staff in municipal commonwealths, district and provincial governments, regional government and other agencies based in (Huascarán National Park and others). The training of UNASAM interns and their work plans to provide support to the design of public investment projects will be also timed to the scheduled indicated above. The support provided to communities will also run in synchrony with the “Participatory Budget” cycle so that adaptation measures can be incorporated in the proposals presented to local governments.

The training materials and modules designed by TMI in the previous reporting period will be adapted to help municipal governments in the three commonwealths incorporate the results of climate vulnerability analysis in their respective PDCs or “Participatory Development Plans” [Plan de Desarrollo Concertado] so that climate adaptation projects can be eligible for public funding. Similarly, these training materials will be adapted so that they also support community projects and grassroots proposals to the Participatory Budget”. TMI will also coordinate with the Ministry of Economy to align the training it provides to the formulation of Public Investment Projects a climate and risk analysis that is aligned with the guidelines currently under formulation at the Ministry.

A Detail Implementation Plan for the period from October 1, 2014 to September 30, 2015 has been submitted to USAID.


5. PERFORMANCE MONITORING PLAN (APRIL 7, 2014 – SEPTEMBER 30, 2014)

DO 3: Results Tracking Table

Indicator Code	Indicator	Unit of Measure	Baseline Year	Baseline Value	Abril - Setiembre 2014		Octubre 2014 - Setiembre 2015		Octubre 2015 - Setiembre 2016		Octubre 2016 - Marzo 2017		Source for goals and results
					Target	Result	Target	Result	Target	Result	Target	Result	
5	4.8.2-6 Número de personas que reciben capacitación en cambio climático como resultado de la asistencia del Gobierno de los EE.UU.	Número de personas*	0	0	0	0	174		233		173		Listas de participantes de los cursos, pruebas de entrada y salida, evaluaciones de incremento de capacidades de los participantes, informes mensuales que fluyen en las acciones de monitoreo a las personas que demuestran incremento de capacidades. Los registros de asistencia deben incluir el registro del CHU.
6	4.8.2-14 Número de instituciones con mayor capacidad para abordar las cuestiones relativas al cambio climático como resultado de la asistencia del Gobierno de los EE.UU. (USAID DO 3 4.8.2-14)**	Instituciones***	0	0	4	4	12		12		7		Informes mensuales y trimestrales con las bases de medición de la capacidad institucional; los nombres de instituciones que sustentan a cada indicador considerado en la medición.
7	4.8.2-28 Número de leyes, políticas, estrategias, planes, acuerdos o reglamentos que aborden el cambio climático (mitigación y adaptación) y/o conservación de la biodiversidad oficialmente propuestas, adoptadas o implementadas como resultado de la asistencia del Gobierno de los EE.UU. (USAID DO 3 4.8.2-28)	Instrumentos	0	0	3	3	11		11		8		Censo Oficial "El Plebiscito". Sitio web de instituciones públicas. Solicitudes formales de información a instituciones públicas y privadas, entre otros. Comunicaciones oficiales y no oficiales (correos). Registro de reuniones, documento de entrega de propuestas, actas y acuerdos.
8	GNRD-2 Proporción de participantes mujeres en programas diseñados para el incremento del acceso a recursos productivos económicos (activos, créditos, ingresos o empleo) como resultado de la asistencia del Gobierno de los EE.UU. (USAID DO 3 GNDR-2)****	(%)****	0	0	0	0	32%		35%		35%		Registro de participantes de cada una de las actividades.
10	4.8.2-10 Monto de inversión apalancada en dólares americanos, a partir de fuentes privadas y públicas, para el cambio climático como resultado de la asistencia del Gobierno de los EE.UU. (USAID DO 3 4.8.2-10)	U.S dollars (Millones)	0	0	0	0	1		3.5		3.5		Convenios, proyectos presentados a fuentes públicas y privadas, código SNIP.
11	C11 - Número de estudios e investigaciones científicas relacionados a temas ambientales que contribuyan a una mejor gestión de recursos naturales como resultado de la asistencia del Gobierno de los EE.UU. (USAID DO 3 C11)	Número*****	0	0	0	0	16		16		16		Proyectos de tesis presentados a concursos, documentos (libros) e informes, informes de avances de los investigadores, entre mensual y trimestral.
12	C12 - Número de personas informadas y sensibilizadas sobre el manejo de recursos naturales, conservación de la biodiversidad y cambio climático como resultado de la asistencia del Gobierno de Estados Unidos. (USAID DO 3 C12)	Número*****	0	0	300	300	1,500		1,500		1,000		Registros de asistencia o de entrega de documentos o material de difusión, los cuales deben incluir dentro de los registros del CHU, así como el lugar de procedencia.
13	C13 - Monto de dinero generado por mecanismos implementados de compensación de servicios ambientales como resultado de la asistencia del Gobierno de Estados Unidos (USAID DO 3 C13)	U.S dollars	0	0	0	0	0		30,000		30,000		Acuerdos, proyectos presentados, estudios de valoración de servicios.

* Incluye a beneficiarios seleccionados para capacitación de las 10 mancomunidades, la UNASAM y las comunidades piloto.
 ** Con las instituciones involucradas, el valor expresado cada año son de instituciones diferentes pero se mantiene el seguimiento a las del año anterior.
 *** Las instituciones incluyen a los actores de la universidad, mancomunidades, comunidades y otros (Parque Nacional Huacarán, Autoridad Local del Agua, Ministerio de Agricultura, Mesas Técnicas y otros).
 **** Incluye a la red de regional, estudiantes mujeres de la universidad, funcionarias públicas y mujeres campesinas.
 ***** Se ha considerado en el componente universidad a un 50% de participación de estudiantes mujeres.
 ***** Se incluyen investigaciones realizadas por la universidad y los IAP de las comunidades.
 ***** Involucra a la población dentro del ámbito del proyecto.

6. FINANCIAL REPORT

FEDERAL FINANCIAL REPORT (Follow form instructions)						
1. Federal Agency and Organizational Element to Which Report is Submitted US Agency for International Development			2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment) AID-527-A-14-00001		Page 1 of 1 pages	
3. Recipient Organization (Name and complete address including Zip code) The Mountain Institute, 3000 Connecticut Avenue, NW, Suite 101, Washington, DC 20008						
4a. DUNS Number 069374247	4b. EIN 55-0541323	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment) Fund 575		6. Report Type <input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	7. Basis of Accounting <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual	
8. Project/Grant Period (Month, Day, Year) From: 8 April 2014 To: 7 April 2017			9. Reporting Period End Date (Month, Day, Year) 30 September 2014			
10. Transactions					Cumulative	
<i>(Use lines a-c for single or combined multiple grant reporting)</i>						
Federal Cash (To report multiple grants separately, also use FFR Attachment):						
a. Cash Receipts					202,212.09	
b. Cash Disbursements					250,410.10	
c. Cash on Hand (line a minus b)					(48,198.01)	
<i>(Use lines d-o for single grant reporting)</i>						
Federal Expenditures and Unobligated Balance:						
d. Total Federal funds authorized					2,000,000.00	
e. Federal share of expenditures					250,410.10	
f. Federal share of unliquidated obligations					-	
g. Total Federal share (sum of lines e and f)					250,410.10	
h. Unobligated balance of Federal funds (line d minus g)					1,749,589.90	
Recipient Share:						
i. Total recipient share required					2,958,242.00	
j. Recipient share of expenditures					374,307.18	
k. Remaining recipient share to be provided (line i minus j)					2,583,934.82	
Program Income:						
l. Total Federal share of program income earned					0	
m. Program income expended in accordance with the deduction alternative					0	
n. Program income expended in accordance with the addition alternative					0	
o. Unexpended program income (line l minus line m or line n)					0	
11. Indirect Expense	a. Type Provisional	b. Rate 20.64%	c. Period From 1 October 11	d. Base until amended 192,154.84	e. Amount Charged 39,660.76	f. Federal Share 39,660.76
				g. Totals:	192,154.84	39,660.76
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:						
13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)						
a. Typed or Printed Name and Title of Authorized Certifying Official Kelly Metz, Controller				c. Telephone (Area code, number, and extension) 202 234 4050		
				d. Email Address kmetz@mountain.org		
b. Signature of Authorized Certifying Official 				e. Date Report Submitted (Month, Day, Year) 29 October 2014		
14. Agency use only:						
Standard Form 425 - Revised 10/11/2011 OMB Approval Number: 0348-0061 Expiration Date: 2/28/2015						
Paperwork Burden Statement According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0061), Washington, DC 20503.						

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